

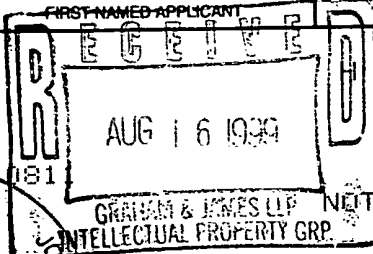
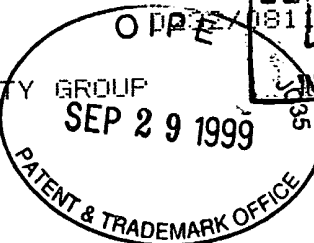


UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/357,349	07/14/99	GEERTS	36813.3

VINEET KOHLI ESQ  
INTELLECTUAL PROPERTY GROUP  
GRAHAM & JAMES LLP  
885 THIRD AVENUE  
NEW YORK NY 10022



1646

DATE MAILED:

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

08/11/99  
Oct. 11, 1999  
CPI

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this **NOTICE** to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 130.00.

- ☐ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$\_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due:

\$\_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$\_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$\_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

*J. Scott*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

10/01/1999 RRGAT 00000040 09357349 130.00 0P  
01 FC:105



Docket No. 36813.6

#3

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Hugo Alfons Geertz et al.  
Serial No.: 09/357,349  
Filed: July 14, 1999  
For: Neurotrophic Growth Factor

**TRANSMITTAL LETTER**

BOX ASSIGNMENTS  
Assistant Commissioner of Patent and Trademarks  
Washington, D.C. 20231

Sir:

Submitted herewith is the Recordation Form Cover Sheet , an Assignment and the appropriate recordation fee of \$40.00. It is respectfully requested that the enclosed assignment be recorded.

The Commissioner is hereby authorized to change any deficiency in the fee associated with this communication to our Deposit Account No. 07-1855. A duplicate copy of this letter is enclosed.

Respectfully submitted,

By: GRAHAM & JAMES, LLP

Per:

Vineet Kohli  
Reg. No. 37,003  
Attorney for Applicants

SEP 29 1999

Attorney Docket No.: 36813.6

PATENT & TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

INVENTOR Name:  
Hugo Alfons Geertz et al.

Date:  
September 27, 1999

Serial No.: 09/357,349

Group: Art Unit: 1646

Filed: July 14, 1999

Examiner: Not Assigned

For: Neurotrophic Growth Factor

TRANSMITTAL LETTER

RESPONSE TO FILE FILE MISSING PARTS OF AN APPLICATION

**BOX MISSING PARTS**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In Response to the Notification of a Defective Oath or Declaration mailed August 11, 1999, submitted herewith is a copy of the Notification of Defective Oath or Declaration with the executed Declaration and our check for \$130.00 is enclosed.

The commissioner is hereby authorized to charge any deficiency in the fee associated with this communication to our Deposit Account No. 07-1855.

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service to addressee as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: September 27, 1999

Lillian Meola

Name

*Lillian Meola*

Signature

September 27, 1999

Date of Signature

Respectfully submitted,

*Vineet Kohli*

Vineet Kohli

Registration No. 37,003

Graham & James, LLP

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